

**NOTE: THIS IS A COMPLETE SYNOPSIS DESCRIPTION OF THE TWO PARTS (INITIAL COPY & AMENDMENT NO. ONE) OF SOLICITATION NO. OAM-2001-N-0018 – FOR PRIVACY-RELATED RESEARCH AND ANALYSIS & INFORMATION RESOURCES MANAGEMENT SERVICES THAT WAS POSTED IN CBDNET (4/19/01 UNDER SUBMISSION NOS. 50J6U3 & 50J7C8) AND PUBLISHED IN CBD ON 4/23/01.**

**DESCRIPTION:** This is a combined synopsis/solicitation (**THIS CBD NOTICE ANNOUNCEMENT CONSTITUTES THE ONLY WRITTEN SOLICITATION FIRMS WILL RECEIVE**) for commercial services prepared in accordance with the format in Subpart 12.6, as supplemented with additional information included in this notice. The Government plans to award an Indefinite-Delivery contract established on the basis of fixed-hourly-labor rates. The Government encourages a teaming approach between offerors in fulfilling **ALL** requirements of this synopsis/solicitation (**NOTE:** Those firms interested in finding teaming partners may, at their option, notify us within **5 calendar days** of the date this notice appears in the CBD, so that we can make this information available to others in a subsequent CBD notice. You may contact us by fax or e-mail (see below) and provide your firm's full name, address, telephone number and point of contact). This announcement constitutes the only solicitation; proposals are being requested and a written (hard copy) solicitation will not be issued. This is a Request for Proposals (RFP) *OAM-2001-N-0018*. This combined synopsis/solicitation is organized in sixteen parts: I. Background, II. Scope, III. Task Deliverables, IV. Possible Additional Task Requirements, V. Status Report Requirements, VI. Product Quality, VII. Independence and Objectivity, VIII. Work Location, Travel, and Timing, IX. Source Selection Evaluation Factors, X. Applicability of FAR Provisions, XI. Format of Proposals, XII. Submission of Offers, XIII. Cost Proposal, XIV. Technical Questions, XV. Building Entry for Handcarried Proposals, and XVI. Point of Contact. **I. Background** GAO's strategic plan identifies six multiyear performance goals to achieve the strategic objective of facilitating government-wide management and institutional reforms needed to build and sustain high performing organizations and more effective government. (1) One of these performance goals is to enhance efforts to manage the collection, use, and dissemination of government information in an era of rapidly changing technology and (2) A key effort that GAO identifies to achieve that performance goal is to examine issues related to the oversight of the Paperwork Reduction Act of 1995 and reauthorization of the Office of Information and Regulatory Affairs (OIRA) within the Office of Management and Budget (OMB). Contractor efforts under this solicitation will constitute part of GAO's work to address that particular performance goal and key effort. The Paperwork Reduction Act of 1995 authorized OIRA through fiscal year 2001. House and/or Senate committees are expected to hold hearings on OIRA reauthorization and assessment of the act during years 2001 and 2002. Management of the federal government's information activities is governed by the 1995 act and related laws, such as the Privacy Act, the Computer Security Act, the Freedom of Information Act, the Clinger-Cohen Act, and the Federal Records Act. GAO and Congress are currently reviewing government practices and implementation of those laws. As a

general matter, this review is driven by concern about technical and management challenges posed by new information technologies. More immediately, the review will support congressional oversight and reauthorization of the appropriations for OMB to carry out its duties under the Paperwork Reduction Act. To assist in this review effort, GAO plans to contract for research and analysis on leading strategies, principles, or models used for protecting personal privacy and addressing other information management-related topics. More specifically, GAO plans to award a task order contract and issue an initial task order to one source to perform the privacy-related task described in Section II. Other tasks may follow. If so, those tasks would involve research and/or analysis of topics in information management or information resources management. (See IV. Possible Optional Task Requirements) Like the task described in Section II (Scope), these topics would relate to GAO's performance goal, cited above: to enhance efforts to manage the collection, use, and dissemination of Government information in an era of rapidly changing technology.

**II. Scope – Required Task:** The purposes of this task are to (1) identify leading strategies, principles, or models used for protecting personal privacy and appropriately balancing privacy rights with other important interests, whether in public or private sector organizations, within or outside the United States of America, and (2) analyze the possible application of those strategies, principles, or models to the U.S. federal government. Under this task, the Contractor shall: (a) Identify and describe leading strategies, principles, or models used for protecting personal privacy and appropriately balancing privacy rights with other important interests, considering both public and private sector organizations. This includes such organizations (1) within the United States of America (for example, relevant lessons might be learned from certain state governments' efforts to protect private medical and financial information) and (2) outside the United States. The identification shall be accomplished through a search of the professional and academic literature and/or other appropriate means, as described in the Offeror's Work Plan. To assist in the identification, the Contractor shall discuss such leading strategies, principles, or models with privacy experts and/or knowledgeable researchers or practitioners. The resulting description shall cover the significant organizational elements and the major policies and practices associated with each leading strategy, principle, or model. Travel outside the United States shall *not* be necessary to complete this task. (b) Analyze the possible application of such leading strategies, principles, or models to the U.S. federal government. This shall include an analysis of the implications for (and needed changes to) current laws, policies, and organizational structure. For example, this would include a discussion of potential changes in the roles and responsibilities of federal agencies and officials, including OMB and agency chief information officers. (c) Fully support with documented evidence the deliverables associated with this task, in accordance with the Offeror's plans for ensuring the quality of the work performed, as included in the Offeror's Work Plan. Submit deliverables (1) through (6), below, to the GAO contact person or delegate both in paper form (two copies, mailed by guaranteed overnight delivery) and electronically, using Microsoft Word 97 and/or other software agreed to by the GAO contact person or delegate.

**III. TASK DELIVERABLES:** The Contractor should provide the

following deliverables (in accordance with the respective milestone dates shown in parenthesis below). (1) Project kickoff: At GAO headquarters in Washington DC, the Contractor shall provide GAO with a briefing (prepared using PowerPoint 97) to kick off the project, introduce key team members, describe each team member's roles and responsibilities, discuss gaps in knowledge, and facilitate a discussion to identify sources of information to fill such gaps (Project Kickoff delivered by the date of task order issuance plus 7 calendar days or Contractor to propose delivery date). (2) Status reports: The Contractor shall deliver a two-page status report to the GAO contact person or delegate every other Friday. This status report will follow the outline provided in V (Status Report Requirements). The Contractor shall discuss this status report with the GAO contact person or delegate when it is delivered (Status Report delivery beginning on the second Friday after task order issuance or Contractor to propose delivery date). (3) Interim briefing: The Contractor shall provide GAO with a briefing (prepared with PowerPoint 97) that summarizes the results of the research and analysis conducted to date. The briefing shall include a discussion of the project's results in brief; objective, scope, and methodology, including the data sources and particular analytical techniques employed; findings to date; preliminary conclusions or options; and remaining work to be accomplished. The briefing shall also include a deductively structured, high-order outline of the final report to be delivered (see (6) below). GAO will provide comments on the outline documented in the interim briefing no later than 1 week after delivery of the interim briefing (Interim briefing delivered within 8 weeks after task order issuance or Contractor to propose date). (4) First report draft: The Contractor shall deliver a first report draft that incorporates GAO's comments on the outline documented in the interim briefing (see (3) above) and that amplifies the outline by adding "charge paragraphs," which begin a section or subsection by summarizing its key points, and subordinate topic sentences. GAO will provide comments on the first report draft no later than 1 week after delivery of the first report draft. (First report draft delivered within 15 weeks after task order issuance or Contractor to propose delivery date). (5) Second report draft: The Contractor shall deliver a second report draft that incorporates GAO's comments on the first report draft. In the second report draft, the Contractor shall amplify the first report draft by completing development of all text, including complete graphics, as appropriate, and by ensuring that all dimensions of quality are addressed (see VI, Product Quality) and that a deductive structure has been rigorously adhered to in organizing the draft. GAO will provide comments on the second report draft no later than 2 weeks after delivery of the second report draft (Second draft report delivered within 20 weeks after task order issuance or Contractor to propose delivery date). (6) Final report: The Contractor shall deliver a final report that incorporates GAO's comments on the second draft report (final report delivered within 24 weeks of task order issuance or Contractor to propose delivery date). (7) The Contractor shall provide a copy of the latest version (in electronic form, wherever possible, using software agreed to by the GAO contact person or delegate) of all information in the Contractor's possession that supports any and all facts; opinions, including any options; and the methodology used in executing this task (All such information delivered

within 26 weeks after task order issuance or Contractor to propose delivery date).

**IV. POSSIBLE OPTIONAL TASK REQUIREMENTS:** The following are three examples of additional task orders that may be issued under this contract.

*Optional Task 1.* The purposes of this task: (a) Identify leading strategies, principles, or models used in the United States for information resources management (IRM), whether in public or private sector organizations; and (b) Analyze the possible application of those strategies, principles, or models to the federal government. *Optional Task 2.* The purposes of this task: (a) Identify leading strategies, principles, or models used outside the United States for IRM, whether in public or private sector organizations; and (b) Analyze the possible application of those strategies, principles, or models to the U.S. federal government. *Optional Task 3.* The purposes of this task: (a) Evaluate the adequacy of the strategic IRM plans of federal agencies (see 44 U.S.C. 3506(b)(2)) and selected major components; and (b) Advise GAO concerning any needed improvements in related federal IRM policies or practices and in relevant provisions of the Paperwork Reduction Act of 1995 and other federal statutes.

**V. Status Report Requirements:** Contractor will provide periodic Status Reports of ongoing task requirements. The Contractor's reports shall include the date, the two week period covered by the status report, contract and task order numbers, project title, a statement of schedule changes needed, a statement of funding changes requested, an explanation of the progress made for the period, an explanation of performance problems encountered and recommended action to cure such problem(s). The report shall include the name(s) of both the Preparer and Approver. Copies of all reports shall be provided to both GAO's Contracting Officer and Contracting Officer's Technical Representative(s). **VI. Product Quality:** Contractor shall provide deliverables under this requirement in accordance with GAO Policy and Procedures Manual Chapter 21, App. III: Dimensions of Quality (which is available in full text at

<http://www.gao.gov/special.pubs/dimqual.pdf>).

**VII. Independence and Objectivity:** Each offeror responding to this solicitation is expected to submit, as part of the proposal, a statement detailing past and ongoing work performed either directly or indirectly for any federal agency in the last 3 years, and a statement that the offeror is independent and objective with respect to those parties. **VIII. Work Location, Travel, and Timing:** The contractors are responsible for providing their own work place, except when visiting the GAO Building. To the extent that the work under this task requires any contractor staff to travel, the related travel must be approved in advance by GAO. GAO will reimburse the Contractor only for the costs incurred in accordance with Federal Travel Regulations. For the task described above, Contractor representatives are expected to make no more than five visits to Washington, D.C. The purposes of some of these meetings (and additional meetings that might be needed), however, may be fully accomplished by means of video conferencing or teleconferencing. During one or more of its visits, the Contractor may be required to discuss the results of its work at a meeting with officials of executive agencies and/or congressional staff (The contractor's work should begin within 3 days after contract award and task order issuance). **IX. Source Selection Evaluation Factors:** The U.S. Government will make award to the responsible firm whose

offer conforms to the solicitation requirements and is most advantageous to the Government cost and price and other factors considered. For this solicitation, technical quality is more important than cost or price. As proposals become more equal in their technical merit, the evaluation of cost or price becomes more important. Technical proposals will be evaluated by applying the following factors. The relative weights to be given to these factors are shown **(in parentheses and bold)**.

**(1) Qualifications of Proposed Staff:** For key staff, describe the qualifications relevant to the Task described in Section II (Scope) of the solicitation, as demonstrated by employment history, educational attainment, and specific accomplishments on similar projects. Key staff should possess sufficient technical knowledge and expertise to provide expert advice on matters related to protecting personnel privacy in government entities and on whether the privacy principles embodied in federal laws affecting privacy need revision. Key staff should be able to demonstrate a working understanding of (1) the Privacy Act of 1974, as amended (5 U.S.C. 552), the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520), and other federal laws affecting privacy, (2) major implementing executive branch guidance, plans, and reports relating to the protection of personal privacy, (3) the background of such laws, including the record of congressional oversight, and (4) other significant background material, such as significant academic articles on the laws and related issues. **(30 POINTS)**

**(2) Demonstrated Ability of the Contractor to Perform the Work:** Demonstrate the relevance and adequacy of corporate (organizational) experience as related to the Task and sub-tasks to be performed. Offerors should address their experience in providing the privacy-related research and analysis services described in Section II of the solicitation. Offerors should also address their ability to meet time frames and recent successful experience in completing similar work. References (names; telephone numbers; and, if available, e-mail addresses of contacts) must be provided for at least three clients with similar research/analytical service needs to the applicable task. (Note: In response to this source selection evaluation factor and the fourth source selection factor, combined, offerors should cite a minimum total of six references). For each client listed, Offerors should describe the services provided **(30 POINTS)**.

**(3) Work Plan:** Submit a Work Plan, setting forth the specific approach, methods/techniques, and general work steps proposed to fulfill the purposes and requirements of the task order, as described in Section II of the solicitation. The Work Plan must include sufficient information to demonstrate the Offeror's understanding of the task and responsibilities of the task. The Work Plan, among other things, provides Offerors an opportunity to demonstrate how their knowledge and experience will allow them to achieve the applicable requirements (Section II of the solicitation) most effectively and efficiently. Offerors shall include in the proposed Work Plan their plans for assuring the quality of the work performed and all deliverables **(20 POINTS)**.

**(4) Demonstrated Ability of the Offeror, and Qualifications of Experts, to Perform the Optional Information Management Tasks:** Demonstrate the relevance and adequacy of corporate (organizational) experience, as related to the three information management tasks described in Section IV (Possible Optional Task Requirements). Also, describe the relevant qualifications of the expert(s) that

would participate in accomplishing each of those three information management tasks, as demonstrated by each expert's employment history, educational attainment, and specific accomplishments on similar projects. Regarding demonstrated corporate (organizational) experience, Offerors should address their recent experience in providing research and analysis services similar to those discussed in Section IV and in successfully completing, and meeting clients' time frames for, such work. References (names; telephone numbers; and, if available, e-mail addresses of contacts) must be provided for at least three clients with similar research/analytical service needs to the tasks described in Section IV. (Note: In response to this source selection evaluation factor and the second source selection factor, combined, Offerors should cite a minimum total of six references.) For each client listed, Offerors should describe the services provided. Also, regarding the qualifications of experts: for (OPTIONAL) **tasks #1 and 2** in Section IV, the experts should possess sufficient technical knowledge and expertise to provide expert advice on matters related to information resources management (IRM) in government entities and on whether the IRM principles embodied in the Paperwork Reduction Act of 1995 need revision. The experts should be able to demonstrate a working understanding of (1) the Paperwork Reduction Act of 1995 (44 U.S.C. 3501-3520) and related federal laws affecting the management of information resources, (2) major implementing executive branch guidance, plans, and reports, (3) the background of such laws, including the report of the Federal Paperwork Commission, and the record of congressional oversight, and (4) other significant background material, such as significant academic articles on the laws and related issues. For (OPTIONAL) **task #3** in Section IV, the experts should possess sufficient technical knowledge and expertise on matters relating to IRM and strategic planning for government entities to (1) conduct the required evaluations effectively and efficiently and (2) provide expert advice on whether IRM policies or practices and relevant provisions in the Paperwork Reduction Act of 1995 and the Clinger-Cohen Act of 1996 need revision. The experts should be able to demonstrate a working understanding of (1) the relevant statutory provisions, including 44 U.S.C. 3506(b), a Paperwork Reduction Act provision, (2) 40 U.S.C. 1411-1413 and 1421-1427, Clinger-Cohen Act provisions, (3) relevant provisions of GPRA (Public Law 103-62), (4) major implementing executive branch guidance issued pursuant to 44 U.S.C. 3506(b), 40 U.S.C. 1411-1427, and GPRA, and related reports, and (5) other significant background material, including guidance for preparing and reviewing strategic IRM plans **(20 POINTS)**. **X. APPLICABILITY OF FAR**

**PROVISIONS:** The following Federal Acquisition Regulations (FAR) provisions and clauses apply to this solicitation and are incorporated by reference. FAR 52.212-1 - Instructions to Offerors - Commercial Items. Addendum paragraph (h) Multiple Awards – delete in its entirety, the government plans to award a single contract resulting from this requirement. Offerors must include a completed copy of FAR provision 52.212-3 - Offeror Representations and Certifications-Commercial Items with their offer (a copy of FAR 52.212-3 in full text is available at [www.arnet.gov/far](http://www.arnet.gov/far)). FAR 52.212-5 - Contract Terms and Conditions Required to Implement Statutes or Executive Orders-Commercial Items. FAR 52-212-4 - Contract Terms and Conditions-Commercial Items, Conditions. Proposals will be

evaluated in accordance with FAR Provisions 52.212-2, Evaluation of Commercial Items, price and other technical factors considered. FAR 52-249-2 - Termination for Convenience of the Government (Fixed-Price).

**XI. FORMAT OF**

**PROPOSALS:** Proposals must contain: (1) the name, address, and telephone number of the offeror; (2) Representations and Certifications at FAR 52.212-3; (3) technical proposal addressing all of GAO's technical requirements enumerated in Section II (Scope), above; (4) cost proposal; (5) any product brochures, descriptions, or informative catalogs detailing the products being proposed; and (6) identification of at least 6 references (that is at least 3 references of privacy research and analysis related experience for Evaluation Factor 2 and at least 3 additional reference of information resources management related experience for Evaluation Factor 4), preferably references that include other government entities, professional services organizations, and/or commercial enterprises having similar complexity, and reporting requirements. Offerors must preface their proposals by an Executive Summary that ties in or correlates their technical proposal with the specific solicitation criteria contained within this solicitation.

The proposal must be signed by an official authorized to bind the offeror.

Offerors that fail to furnish required representation and certifications, or reject the terms and conditions of the solicitation, may be excluded from consideration.

**XII. SUBMISSION OF OFFERS:** Proposal shall be submitted in two (2) physically separate and detachable parts; Part 1 – Technical Proposals and Part 2 – Cost proposal. All information shall be confined to the appropriate volume to facilitate independent evaluation. An original and 5 copies of both the technical and cost proposals must be submitted on or before **12:00p.m. (EST) May 15, 2001**. To: **IF MAILED (USPS)** – U.S. General Accounting Office, Acquisition Management, 441 G Street N.W., Room 6B46, Washington D.C., 20548 Attn: Harold Miles (Contract Specialist). or **IF HANDCARRIED (COMPANY REP./MESSENGER/COURIER/OTHER USPS)** – U.S. General Accounting Office, Acquisition Management, c/o OGC Correspondence Control Team, 441 G Street, N.W., Room 1139 (Window to right of the Reception Desk). Washington D.C., Attn: Harold Miles (Contract Specialist). Offers must arrive at the designated location and by the time specified. All offers shall be clearly marked with the RFP number, offeror's name, address, point of contact and phone number. **FACSIMILE OFFERS WILL NOT BE ACCEPTED.**

**XIII. COST**

**PROPOSAL:** (a) For **EVALUATION PURPOSES** the Government has identified four general labor categories and estimated labor hours for each. The level of effort projected for the four general labor categories are as follows: (1) subject matter experts (254 estimated labor hours); (2) staff – (914 estimated labor hours); (3) supervising senior – (304 labor hours); and (4) partner, research center or equivalent individual – (24 estimated labor hours). The offeror must propose similarly identifiable labor categories including the level of effort to complete the required task (see Section II Scope). In addition, the offeror must propose similarly identifiable labor categories for the three optional tasks (see Section IV Possible Optional Task Requirements). (b) For the Required Task, the offeror must propose the number of hours anticipated to complete the task, broken down by level of personnel, for the specific task identified. The cost of performing the scope of these services should include travel and other out-of-pocket expenses

but should not include the cost of possible additional services GAO may require. GAO will reimburse the Contractor for travel and other out-of-pocket expenses as noted in Section VIII, above. (c) The Government shall pay a total firm-fixed-price for the required task in the base year of the contract and will order optional task at its discretion for the base year and each of the four option years, by providing the contractor with a specific requirement, requesting a cost and technical proposal and awarding a task based on the fixed-hourly-rates and the number of hours per labor category in the contract. (d) Offerors are requested to provide fully-loaded fixed hourly rates for each labor category proposed which is inclusive of all expenses, including report preparation, salaries, overhead, general and administrative expenses, and profit. Labor categories and fully-loaded fixed hourly rates must be provided for each period of the proposed contract (one-base year and four option years). The offeror must provide a cost matrix that: (1) identifies for the base year (FY-2001) those labor categories (expert staff), number of labor hours per labor category and fully-loaded fixed hourly rates per labor category to complete the required task described in II (Scope) with proposed travel cost and other out-of-pocket expenses to be detailed separately for a total firm-fixed-price to perform the required task; and (2) identifies for the base year (FY-2001) and four option years (FY-2002, FY-2003, FY-2004 and FY-2005) those labor categories (expert staff) and fully-loaded fixed hourly rates to perform the tasks to meet **ALL** solicitation requirements described in II (Scope) and IV (Possible Optional Task Requirements). The Contract fiscal periods are identified as follows: Base Period – date of contract award through September 30, 2001; Option year one – October 1, 2001 – September 30, 2002; Option year two – October 1, 2002 – September 30, 2003; Option year three – October 1, 2003 – September 30, 2004; and Option year four – October 1, 2004 – September 30, 2005 and (d) The Government will order services under the contract by providing the Contractor with a Statement of Work. The Contractor shall state its methodology to perform the work, and the labor mix to complete the task and provide resumes of the personnel proposed to perform the effort, the hours for each labor category, and a cost proposal, which shall include the labor mix, the hours proposed times the contract fixed hourly rates for those categories for the current period, and a total firm fixed price to perform each task.

**XIV. TECHNICAL QUESTIONS:** Offerors must submit all technical questions concerning this CBD requirement in writing to the Contract Specialist (Harold Miles). GAO must receive the questions no later than **5 calendar days** after the notice is published in the CBD. GAO will respond to questions in an amendment to the CBD which may affect offerors' proposals.

**XV. BUILDING ENTRY FOR HANDCARRIED PROPOSALS:** Offerors should be aware that couriers delivering packages (offers) to the GAO building may encounter delays due to security checks being enforced.

**XVI. POINT OF CONTACT:** Harold Miles (Contract Specialist), U.S. General Accounting Office, Acquisition Management, Room 6B46, 441 G Street N.W., Washington D.C. 20548. Telephone numbers: Office - (202) 512-3607, FAX – (202) 512-2658. E-mail: miles@ga.gov \*\*\*\*\*



